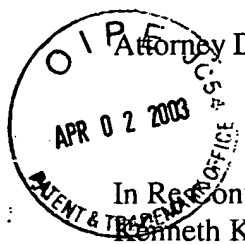


3624/17



Attorney Docket No. 3001 P 009

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Continuation Patent Application Of:)
Kenneth Kiron and Kevin S. Bander)

Application No.: 09/579,801)

Group Art Unit: 3624

Confirmation No.: 8044)

CPA Filed: December 30, 2002)

For: Open End Mutual Fund Securitization Process)

BOX FEE AMENDMENT
Commissioner for Patents
Washington, D.C. 20231

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APR 10 2003

GROUP 3600

AMENDMENT TRANSMITTAL

Dear Sir:

X Transmitted herewith is a Preliminary Amendment in the above-identified Application.

X The fee for the Preliminary Amendment has been calculated as shown below:

				Small Entity		Other Than Small Entity	
	Claims Remaining After Amendment	Highest Number Previously Paid For	Present Extra	Rate	Additional Fee	Rate	Additional Fee
Total	45	- 23	= 22	x \$ 9	\$198	x \$18	-0-
Independent	7	- 5	= 2	x \$ 42	84	x \$84	-0-
First Presentation of Multiple Dependent Claims				x \$140	-0-	x \$280	-0-
TOTAL ADDITIONAL FEE						\$282	

X Check in the amount of \$282.00 is enclosed for the additional fee.

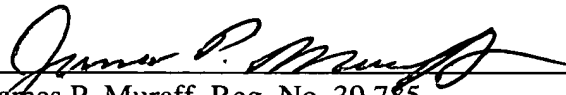
Commissioner for Patents
Application Serial No. 09/579,801
Attorney Docket No. 3001 P 009
Page 2

The Commissioner is hereby authorized to charge payment of any **deficiency in fees only** associated with this communication or credit any overpayment to Deposit Account No. 23-0280.

A duplicate copy of this sheet is attached.

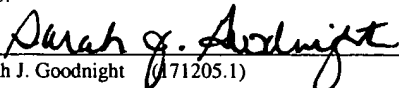
Respectfully submitted.

Date: March 28, 2003

By: 
James P. Muraff, Reg. No. 39,785
Wallenstein & Wagner, Ltd.
311 South Wacker Drive, 53rd Floor
Chicago, Illinois 60606-6630
312.554.3300
Attorney for Applicant

CERTIFICATE OF MAILING

I hereby certify that this correspondence is, on the date shown below, being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: BOX FEE AMENDMENT, Commissioner of Patents, Washington, D.C. 20231 on March 28, 2003.


Sarah J. Goodnight (A71205.1)

#14



Attorney Docket No. 3001 P 009

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Is a Continuation Patent Application Of:)
Kenneth Kiron and Kevin S. Bander)
Application No.: 09/579,801)
Confirmation No.: 8044) Group Art Unit: 3624
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BOX FEE AMENDMENT
Commissioner For Patents
Washington, D.C. 20231

PRELIMINARY AMENDMENT AND REMARKS
TO 7/3/02 OFFICE ACTION IN PARENT APPLICATION

Dear Sir:

Before examination, please amend the instant Application as follows. This Preliminary Amendment is being filed within the three-month time period granted to Applicants pursuant to the suspension of prosecution under 37 CFR § 1.103(b).

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GROUP 3600

In the Claims:

Please cancel Claims 53 and 75-89 without prejudice.

Please add the following claims:

- NE
- 90. An exchange traded fund comprising:
an actively managed portfolio comprising of securities that satisfy an investment objective, the securities within the portfolio being weighted and the portfolio being changeable in response to a change in the securities that satisfy an investment objective;
a plurality of outstanding shares of the exchange traded fund capable of being listed and traded on an exchange at a price corresponding to the price of the securities within the portfolio; and,
wherein the price that the outstanding shares are being traded on the exchange is adapted to be displayed in real time on an electronic system.

91. The fund of claim 90 wherein the exchange traded fund is not a closed end fund.

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